



#5/A  
B#  
12/31/00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

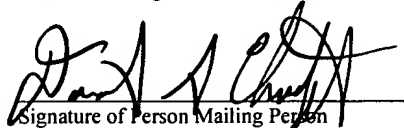
In re the Application of: )  
Ford, Robert M. ) Group Art Unit: 2766  
Serial No.: 09/330,446 ) Examiner: Leslie K. Nguyen  
Filed: June 11, 1999 )

For: **SYSTEM AND METHOD FOR MANAGING  
TIER-PRICED COMMODITIES TRANSACTIONS**

RECEIVED  
DEC 29 2000  
TC 2100 MAILROOM

CERTIFICATE OF FIRST-CLASS MAILING

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service as First-Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this 21st day of December.

  
Signature of Person Mailing Paper

David Chametzky  
Name of Person Mailing Paper

AMENDMENT AND RESPONSE

Please amend Claim 10 as follows:

10 (Amended). The method of claim 9 wherein said -- indemnification is a -- financial instrument [is] designed to protect against loss associated with interruptions in the delivery of said second tier commodity.

Remarks

This paper is responsive to the Office Action mailed October 2, 2000. Reconsideration of the subject application is respectfully requested.



Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number 09/330,446

Filing Date 6/11/99

First Named Inventor FORD, Robert

Group Art Unit 2766

Examiner Name NGUYEN, Leslie

Total Number of Pages in This Submission 13

Attorney Docket Number 23312 - 1001

## ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☒ Amendment / Reply

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/ Incomplete Application

☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Assignment Papers (for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) \_\_\_\_\_

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☐ Other Enclosure(s) (please identify below):

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name John M. Johnson  
Reg. No. 33,334

Signature

Date December 21, 2000

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: December 21, 2000

Typed or printed name David S. Chametzky

Signature

Date December 21, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.